

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | R0133B-REG |
| First Inventor | Clark, Robin Douglas et al. |
| Title | 4-Piperazinyl Benzenesulfonyl Indoles and Uses Thereof |
| Express Mail Label No. | ER 494672763 US |

U.S. PTO
101603
10/687091
2258

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages **46**]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. Drawing(s) (35 U.S.C.113) [Total Sheets]

5. Oath or Declaration [Total Sheets **3**]
a. Newly executed (copy)
b. Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. CD-ROM or CD-R (2 copies); or
ii. paper
c. Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. Assignment Papers (cover sheet & document(s))

10. 37 C.F.R. 3.73(b) Statement Power of Attorney (when there is an assignee)

11. English Translation Document (if applicable)

12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

13. Preliminary Amendment

14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

15. Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)
Prior application information: Examiner _____

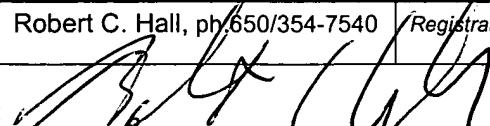
of prior application No: _____ / _____
Art Unit: _____

Claim for Benefit of Provisional Application(s):

This Application claims the benefit under title 35 U.S.C. 119(e) of U.S. Provisional Application No. 60/419,369, filed October 18, 2002

19. CORRESPONDENCE ADDRESS

| | | | | | | |
|--|--|-----------|---------------|----------|--|---------------|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) | | 24372 | | | or <input type="checkbox"/> Correspondence address below | |
| Name | Grant D. Green ROCHE PALO ALTO LLC | | | | | |
| Address | Patent Law Dept., M/S A2-250 3431 Hillview Avenue | | | | | |
| | PATENT TRADEMARK OFFICE | | | | | |
| City | Palo Alto | State | CA | Zip Code | 94304 | |
| Country | U.S.A. | Telephone | 650/ 855-5311 | | Fax | 650/ 855-5322 |

| | | | |
|-------------------|---|-----------------------------------|------------------|
| Name (Print/Type) | Robert C. Hall, ph 650/354-7540 | Registration No. (Attorney/Agent) | 39,209 |
| Signature |  | | Date |
| | | | October 16, 2003 |

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)
1,040.00

| Complete if Known | |
|----------------------|----------------------------|
| Application Number | New Application |
| Filing Date | |
| First Named Inventor | Clark, Robin Douglas et al |
| Examiner Name | unassigned |
| Art Unit | |
| Attorney Docket No. | R0133B-REG |

| METHOD OF PAYMENT (check all that apply) | | | | FEE CALCULATION (continued) | | | | | | | | | | | | | | | | | | | |
|---|--------------|----------------|--------------|---|--------------|----------------|----------|--------------|--------------|---|------------|--------------------|----------|-----------------|--------------|--------------------|--|--|-------------|--|--|--|--|
| <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account: Deposit Account Number 18-1700 | | | | 3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> </tr> </thead> <tbody> <tr> <td>Fee Code</td> <td>Fee (\$)</td> <td>Fee Code</td> <td>Fee (\$)</td> <td>Fee Description</td> <td>Fee Paid</td> </tr> </tbody> </table> | | | | Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid | | | | | | | | |
| Large Entity | Small Entity | | | | | | | | | | | | | | | | | | | | | | |
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account. | | | | 1051 130 2051 65 SurchARGE - late filing fee or oath 1052 50 2052 25 SurchARGE - late provisional filing fee or cover sheet. 1053 130 1053 130 Non-English specification 1812 2,520 1812 2,520 For filing a request for reexamination 1804 920* 1804 920* Requesting publication of SIR prior to Examiner action 1805 1,840* 1805 1,840* Requesting publication of SIR after Examiner action 1251 110 2251 55 Extension for reply within first month 1252 410 2252 205 Extension for reply within second month 1253 930 2253 465 Extension for reply within third month 1254 1,450 2254 725 Extension for reply within fourth month 1255 1,970 2255 985 Extension for reply within fifth month 1401 320 2401 160 Notice of Appeal 1402 320 2402 160 Filing a brief in support of an appeal 1403 280 2403 140 Request for oral hearing 1451 1,510 1451 1,510 Petition to institute a public use proceeding 1452 110 2452 55 Petition to revive - unavoidable 1453 1,300 2453 650 Petition to revive - unintentional 1501 1,300 2501 650 Utility issue fee (or reissue) 1502 470 2502 235 Design issue fee 1503 630 2503 315 Plant issue fee 1460 130 1460 130 Petitions to the Commissioner 1807 50 1807 50 Processing fee under 37 CFR 1.17 (q) 1806 180 1806 180 Submission of Information Disclosure Stmt 8021 40 8021 40 Recording each patent assignment per property (times number of properties) 1809 750 2809 375 Filing a submission after final rejection (37 CFR § 1.129(a)) 1810 750 2810 375 For each additional invention to be examined (37 CFR § 1.129(b)) 1801 750 2801 375 Request for Continued Examination (RCE) 1802 900 1802 900 Request for expedited examination of a design application Other fee (specify) _____ | | | | | | | | | | | | | | | | | | | |
| 1. BASIC FILING FEE <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> </tr> </thead> <tbody> <tr> <td>Fee Code</td> <td>Fee (\$)</td> <td>Fee Code</td> <td>Fee (\$)</td> </tr> </tbody> </table> | | | | Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description 1001 770 Utility filing fee 1002 330 Design filing fee 1003 520 Plant filing fee 1004 750 Reissue filing fee 1005 160 Provisional filing fee SUBTOTAL (1) (\$ 770) | | | | | | | | | | | | | |
| Large Entity | Small Entity | | | | | | | | | | | | | | | | | | | | | | |
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | | | | | | | | | | | | | | | | | | | |
| 2. EXTRA CLAIM FEES <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>35</td> <td>-20</td> <td>= 15</td> <td>X 18 = 270</td> </tr> <tr> <td>Independent Claims</td> <td>1</td> <td>-3</td> <td>= 0 X 86 = 0</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td>X _____ = 0</td> </tr> </tbody> </table> | | | | Total Claims | Extra Claims | Fee from below | Fee Paid | 35 | -20 | = 15 | X 18 = 270 | Independent Claims | 1 | -3 | = 0 X 86 = 0 | Multiple Dependent | | | X _____ = 0 | Fee Description 1202 18 Claims in excess of 20 1201 86 Independent claims in excess of 3 1203 280 Multiple dependent claim, if not paid ** Reissue independent claims over original patent ** Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$ 270) | | | |
| Total Claims | Extra Claims | Fee from below | Fee Paid | | | | | | | | | | | | | | | | | | | | |
| 35 | -20 | = 15 | X 18 = 270 | | | | | | | | | | | | | | | | | | | | |
| Independent Claims | 1 | -3 | = 0 X 86 = 0 | | | | | | | | | | | | | | | | | | | | |
| Multiple Dependent | | | X _____ = 0 | | | | | | | | | | | | | | | | | | | | |
| *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 0) | | | | | | | | | | | | | | | | | | | | | | | |

**or number previously paid, if greater; For Reissues, see above

| SUBMITTED BY | | | | | | Complete (if applicable) |
|-------------------|---|---------------------------------|--------|-----------|------------------|--------------------------|
| Name (Print/Type) | Robert C. Hall | Registration No. Attorney/Agent | 39,209 | Telephone | 650/354-7540 | |
| Signature |  | | | Date | October 16, 2003 | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Docs #122413v1